

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

**FORM A** Page 1 of 11  
For use by Members, officers, and employees

Wayne Edward Whitfield

(Full Name)

(202) 225-3115

(Daytime Telephone)

**Filer Status** ☒ Member of the U.S. House of Representatives State: KY District: 01

☐ Officer Or Employee Employing Office:

**Report Type** ☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

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MAY 15 PM 4:31

(Office Use Only)

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

## EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

<b>Trusts--</b> Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b> Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
CSX Corporation	Pension Benefit	\$43,000
The Humane Society of the United States	Spouse Salary	N/A

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BLOCK A Asset and/or Income Source  Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols.)  For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.  For rental or other real property held for investment, provide a complete address.  For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.  If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.	BLOCK B Year-End Value of Asset  At close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C Type of Income  Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	BLOCK D Amount of Income  For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	BLOCK E Transaction  Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Abbott Lab	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
AK Bank	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	P
AT&T	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
Bank of America	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Berkshire Hathaway - B	None	None	NONE	S
California St 4% 16	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

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	California St 4.5% 18	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	Campbell and Kenton County Bond	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
	Chevron Stock	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000	
	Coca-Cola	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	Congressional Credit Union	\$1,001 - \$15,000	Interest	\$1 - \$200	
	CSX Corp. Bond	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	DMC Green	None	None	NONE	S
	Exxon	\$250,001 - \$500,000	DIVIDENDS	\$5,001 - \$15,000	
	Fidelity Blue Chip Fund	\$15,001 - \$50,000	DIVIDENDS/INTE REST	\$1,001 - \$2,500	
	Hampton Roads Revenue Bond	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	
	Houston Tax Revenue Bond	\$50,001 - \$100,000	INTEREST	\$1,001 - \$2,500	
	Incyte Corp	\$15,001 - \$50,000	None	NONE	P
	Intel	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	International Business	None	Dividends	\$1,001 - \$2,500	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	JP Morgan	\$100,001 - \$250,000	INTEREST	\$1,001 - \$2,500	P
	Los Angeles County 5% 15	None	INTEREST	\$201 - \$1,000	S
	Louisville and Jefferson County Bond	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	Mairs and Powers	\$15,001 - \$50,000	CAPITAL GAINS	\$201 - \$1,000	P
SP	Manulife Financial	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
	Marshall Isley Bank	None	DIVIDENDS	\$201 - \$1,000	S
	May Department / Macy's	None	DIVIDENDS	\$5,001 - \$15,000	S
	McDonalds	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	Medtronic	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	Metropolitan Water 4% 12	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	
	Microsoft	None	DIVIDENDS	\$201 - \$1,000	S
	Newmont Mining	\$1,001 - \$15,000	DIVIDENDS	NONE	P
	Northwestern Annuity	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
	Old National Bank Building 1027 Indianapolis Road Green Castle, IN 46135	\$500,001 - \$1,000,000	RENT	\$50,001 - \$100,000	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	PepsiCo	None	CAPITAL GAINS	\$201 - \$1,000	S
	PepsiCo	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	Sacramento County Municipal Bond	\$50,001 - \$100,000	Interest	\$201 - \$1,000	
	Schering-Plough	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Schwab Account Cash	\$250,001 - \$500,000	INTEREST	\$2,501 - \$5,000	
	SPDR Gold TR	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	Statoil Hydro ASA	None	DIVIDENDS	\$1 - \$200	S
	Tidewater	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	Travelers Corp.	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
	United Bank	\$50,001 - \$100,000	INTEREST	\$1 - \$200	
	United Bank DC	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
	Vacant Lot--Greenbrier-Sporting Club, Travelers Hill, White Sulfr Springs, WV, Lot 26	\$100,001 - \$250,000	None	NONE	
	Vanguard Growth Index Fund	None	DIVIDENDS	\$201 - \$1,000	S
	Vanguard Inflation	None	DIVIDENDS	\$1,001 - \$2,500	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Vanguard Prime Money Market Fund	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
Vanguard S&P 500 Fund	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	
Vanguard Short Term Tax	\$250,001 - \$500,000	INTEREST	\$1,001 - \$2,500	
Vanguard Tax Exempt	\$50,001 - \$100,000	None	NONE	
Verizon	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
Virginia ST 5% Bond	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	
Virginia ST Res 5.125 Bond	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	
Wal-Mart	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Walt Disney Co	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
Washington First	\$15,001 - \$50,000	None	NONE	
Wells Fargo	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	P

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AK Bank	P	N/A	2-12-2011	\$50,001 - \$100,000
	Bank of America	P	N/A	1-7-2011	\$1,001 - \$15,000
	Berkshire Hathaway-B	S	No	3-16-2011	\$15,001 - \$50,000
	DMC Green	S	No	1-4-2011	\$15,001 - \$50,000
	Incyte Corp	P	N/A	1-12-2011	\$15,001 - \$50,000
	International Business	S	Yes	10-26-2011	\$15,001 - \$50,000
	JP Morgan	P	N/A	1-10-2011	\$100,001 - \$250,000
	Los Angeles County 5% 15	S	No	7-1-2011	\$15,001 - \$50,000
	Mairs and Powers	P	N/A	4-18-2011	\$15,001 - \$50,000
	Marshall Isley Bank	S	No	7-12-2011	\$1,001 - \$15,000
	May Department / Macy's	S	Yes	10-26-2011	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Medtronic	P	N/A	10-26-2011	\$1,001 - \$15,000
	Microsoft	S	No	10-26-2011	\$1,001 - \$15,000
	Newmont Mining	P	N/A	3-7-2011	\$1,001 - \$15,000
	PepsiCo	P	N/A	5-4-2011	\$1,001 - \$15,000
	PepsiCo	S	Yes	10-26-2011	\$1,001 - \$15,000
	Statoil Hydro ASA	S	Yes	3-16-2011	\$1,001 - \$15,000
	Tidewater	P	N/A	3-16-2011	\$15,001 - \$50,000
	Vanguard Growth Index Fund	S	No	2-4-2011	\$50,001 - \$100,000
	Vanguard Inflation	S	No	2-4-2011	\$50,001 - \$100,000
	Wal-Mart	P	N/A	1-7-2011	\$1,001 - \$15,000
	Wells Fargo	P	N/A	5-3-2011	\$1,001 - \$15,000

# SCHEDULE V - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. NOTE: Pending legislation may require Members to report mortgages on personal residences.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	BB&T	January 2003	Mortgage--Lot 26 Greenbrier, White Sulphur Springs, WV	\$100,001 - \$250,000
	Columbo Bank	February 2011	Mortgage--Real Estate in Washington, DC	\$100,001 - \$250,000

# SCHEDULE VIII - POSITIONS

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Governors	Wesley Theological Seminary